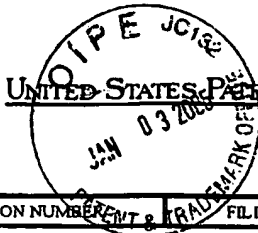


01-04-05

Page 1 of 2



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

| APPLICATION NUMBER | FILING OR 371 (c) DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|------------------------|-----------------------|------------------------|
| 10/804,531         | 03/19/2004             | Richard A. Baker      | P1995B                 |

08968  
GARDNER CARTON & DOUGLAS LLP  
ATTN: PATENT DOCKET DEPT.  
191 N. WACKER DRIVE, SUITE 3700  
CHICAGO, IL 60606

CONFIRMATION NO. 7546

FORMALITIES LETTER



\*OC000000012828861\*

Date Mailed: 06/01/2004

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

**Items Required To Avoid Abandonment:**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

**SUMMARY OF FEES DUE:**

Total additional fee(s) required for this application is \$65 for a Small Entity

- \$65 Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

*A copy of this notice **MUST** be returned with the reply.*

01/06/2005 AWONDAF1 00000043 070181 10804531

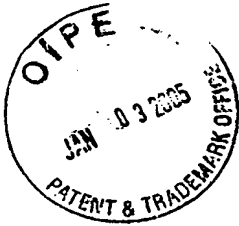
01 FC:2051 65.00 DA

B. To

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY



**EXPRESS MAILING CERTIFICATE  
UNDER 37 CFR § 1.10**

**Date of Deposit: January 3, 2005**

**"Express Mail" Mailing Number: EU909390577US**

I hereby certify that this RESPONSE TO NOTICE TO FILE MISSING PARTS, including any documents or materials referred to thereon as enclosures or attachments, is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to:

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Title: SYSTEM FOR MANAGING DATA REGARDING DERIVATIVES  
TRADES

Inventor: Baker et al.


Application No.: 10/804,531

Filed: March 19, 2004

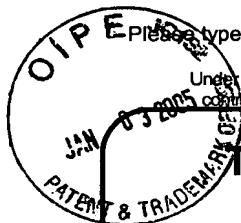
Enclosed:

1. Transmittal Form (1 pg)
2. Response to Notice to File Missing Parts (3 pgs) and duplicate thereof (3 pgs)
3. Copy of Notice to File Missing Parts of Nonprovisional Application (2 pgs)
4. Executed Combined Declaration and Power of Attorney (35 pgs)
5. Authorization to Charge Deposit Account in the amount of \$65.00
6. Return postcard

Zenash S. Kebede  
Typed or Printed Name

  
Signature

Attorney Docket No. **P1995B**  
Client No. 076661-0004  
CH02/ 22358597.1



Please type a plus sign (+) inside this box → ☒

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/21 (6-98)

Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

|  |                      |                  |
|--|----------------------|------------------|
| Total Number of Pages in This Submission | Application Number   | 10/804,531       |
|  | Filing Date          | March 19, 2004   |
|  | First Named Inventor | Richard A. BAKER |
|  | Group Art Unit       | 3624             |
|  | Examiner Name        | Unassigned       |
| Attorney Docket Number                   |                      | P1995B           |

### ENCLOSURES (check all that apply)

|   |  |  |
|---|--|--|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Response<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input checked="" type="checkbox"/> Combined Declaration and Power of Attorney<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Small Entity Statement<br><input type="checkbox"/> Request for Refund | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):<br><b>Copy of Notice to File Missing Parts of Nonprovisional Application; Express Mailing Certificate under 37 CFR 1.10; Postcard</b> |
| <div>Remarks</div>  |  |  |

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                         |   |
|-------------------------|---|
| Firm or Individual name | Vernon W. Francissen, Reg. No. 41,762<br>Gardner Carton & Douglas LLP |
| Signature               |   |
| Date                    | January 3, 2005   |

### EXPRESS MAILING CERTIFICATE UNDER 37 CFR § 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 under "Express Mail" Mailing Number **EU909390577US** on January 3, 2005 and is addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

|                       |                  |      |                 |
|-----------------------|------------------|------|-----------------|
| Typed or printed name | Zenash S. Kebede | Date | January 3, 2005 |
| Signature             |                  |      |                 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

CH02/ 22358595.1



**PATENT**  
Attorney Docket No. P1995B

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Baker et al.

Art Unit: 3624

Application No. 10/804,531

Examiner: Unassigned

Filed: March 19, 2004

For: **SYSTEM FOR MANAGING DATA  
REGARDING DERIVATIVES TRADES**

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir

Applicants hereby respond to the Notice to File Missing Parts of Application dated June 1, 2004.

The items checked below are appropriate:

**1. Status of Applicant**

This application is on behalf of ☐ other than a small entity or ☒ a small entity.

**2. Documents Submitted Herewith**

- a. ☒ Executed Declaration of inventor(s)
- b. ☐ Nucleotide and/or Amino Acid Sequence Submission:
  - i. ☐ Computer Readable Form (CRF)
  - ii. Specification Sequence Listing on:
    - (1) ☐ CD-ROM or CD-R (2 copies); or
    - (2) ☐ Paper Copy
  - iii. ☐ Statement verifying identity of above copies
- c. ☐ Verified English translation of application
- d. ☒ Copy of the Notice to File Missing Parts of Application.
- e. ☐ Substitute Drawings
- f. ☐ Other:

3. Fees

**Application Filing Fee**

| APPLICATION FEES  |              |              |            |          |
|---|--------------|--------------|------------|----------|
| BASIC FEE   |              |              |            | \$300.00 |
| SEARCH FEE  |              |              |            | \$500.00 |
| EXAMINATION FEE   |              |              |            | \$200.00 |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA | RATE       |          |
| Total Claims  | -20=         |              | x \$50.00  | \$0.00   |
| Independent Claims  | - 3=         |              | x \$200.00 | \$0.00   |
| <input type="checkbox"/> Multiple Dependent Claims(s) if applicable |              |              | +\$360.00  | \$       |
| Total of above calculations =                                       |              |              |            | \$0.00   |
| Reduction by 50% for filing by small entity =                       |              |              |            | \$( )    |
| Fee Due =   |              |              |            | \$0.00   |

**Late Filing of Oath or Declaration**

Pursuant to 37 CFR 1.16(e), the surcharge for filing this Response is for ☐ other than a small entity or ☒ a small entity.

**Fee Due** \$ 65.00

**Submitting a Translation of the Specification**

Pursuant to 37 CFR 1.17(i), the surcharge for submitting an English translation of the non-English specification is included.

**Fee Due** \$ 0.00

**Extension of Time**

☒ Applicants filed a Petition for a five-month extension of time under 37 CFR 1.136 on December 29, 2004, and paid the extension fee in the amount \$1,080.00. No additional fee is believed to be due in connection with this communication. If any additional fee is required, please charge Account No. 07-0181. A duplicate of this transmittal is attached.

☐ Applicants believe that no extension of time is required. However, this conditional petition is being made to provide for the possibility that applicants have inadvertently overlooked the need for a petition and fee for extension of time.

**Fee Due** \$0.00

**4. Total Fee Due**

The total fee due is:

|                                      |          |
|--------------------------------------|----------|
| Application Filing Fee               | \$       |
| Late Filing of Declaration Surcharge | \$ 65.00 |
| Non-English Specification Surcharge  | \$ 0.00  |
| Extension of Time Fee                | \$ 0.00  |

**Total Fee Due: \$65.00**

**5. Fee Payment**

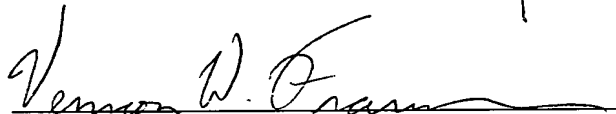
☐  
☒

Attached is a check in the sum of \$  
Charge Account No. 07-0181 the sum of \$65.00. A duplicate of this transmittal is attached.

**6. Fee Deficiency**

☒

If any additional fee is required in connection with this communication, charge Account No. 07-0181. A duplicate of this transmittal is attached.



Vernon W. Francissen, Reg. No. 41,762  
One of the Attorneys for Applicant(s)  
GARDNER CARTON & DOUGLAS LLP  
191 N. Wacker Drive, Suite 3700  
Chicago, Illinois 60606-1698  
(312) 569-1000 telephone  
(312) 569-3000 facsimile  
Customer No.: 08968

Date: January 3, 2005

**Certification under 37 C.F.R. § 1.10**

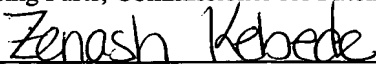
EU909390577US

January 3, 2005

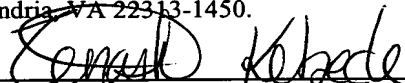
*Express Mail mailing number*

*Date of Deposit*

I hereby certify this RESPONSE TO NOTICE TO FILE MISSING PARTS, including any documents or materials referred to thereon as enclosures or attachments, is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



*(Typed or printed name or person making deposit)*



*(Signature of person making deposit)*